

Governor's Office of Homeland Security



Fiscal Year 2009 Regional Catastrophic Preparedness Grant Program

California Supplement Federal Program Guidance and Application Kit

November 21, 2008

STATE OF CALIFORNIA

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Contact Information

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Section 1 – Application Resources

Federal Program Guidance and Updates

The U.S. Department of Homeland Security (US DHS) published the *Fiscal Year (FY) 2009 Regional Catastrophic Preparedness Grant Program (RCPGP) Guidance and Application Kit* on November 5, 2008.

The *Guidance and Application Kit* may be obtained at:
<http://www.fema.gov/government/grant/rcp/index.shtm>

Investment Justification Template

The Guidelines for the Investment Justifications can be obtained at:
<http://www.fema.gov/government/grant/rcp/index.shtm>

Press Release

The US DHS issued a Press Release announcing the *FY 2009 RCPGP* on November, 5 2008.

The Press Release can be obtained at:
<http://www.fema.gov/news/newsrelease.fema?id=46633>

Fact Sheet

The US DHS issued a Fact Sheet on the *FY 2009 RCPGP* on November 5, 2008.

The Fact Sheet can be obtained at:
http://www.fema.gov/doc/government/grant/rcp/fy09_rcpgp_faq.doc

California Supplement

The *California Supplement* to the Federal Program Guidance is intended to complement, rather than replace, the federal guidance published by the US DHS National Preparedness Directorate. It is recommended that applicants read thoroughly the federal guidance before referring to the State Supplement. Funding availability, eligible applicants, allowable costs and other key information is described in the federal guidance and application kit.

Section 2 - Timeline

FY 2009 RCPGP Grant Timeline

US DHS Announcement of FY 2009 RCPGP	November 5, 2008
FY 2009 RCPGP California Supplement Release	November 21, 2008
Suggested Internal Review Date	January 5, 2009
Exchange of Draft Investment Justifications	January 12, 2009
RCPG IJ Peer Review	January 21, 2009
FEMA Midterm Review of IJ	February 9- 20, 2009
Subgrantees Submit Investment Justifications to OHS	March 6, 2009
OHS Submits Investment Justifications to DHS	March 20, 2009
US DHS Award Officially Announced	September 1, 2009
Required Documents to Meet Pass Through Due	October 16, 2009
Final Requests for Reimbursement Due	May 25, 2011
Subgrantee Performance Period Ends	June 1, 2011
SAA Performance Period Ends/Grant Closeout	September 1, 2011

Section 3 – Overview

Funding Availability	The Regional Catastrophic Preparedness Grant Program (RCPGP) is intended to enhance regional catastrophic preparedness and continuity of operations efforts, with the aim of strengthening the Nation against risks associated with catastrophic events. RCPGP centers on the highest risk Urban Areas and surrounding regions, where its impact will have the most significant effect on our collective security and resilience. Each site eligible for participation in the RCPGP, designated as the RCPGP site, includes a collection of jurisdictions that must work collaboratively to fulfill the program requirements.
Maximum subgrant	The total amount of funds distributed under the FY 2009 RCPGP will be \$34,002,500. A total of \$31,002,500 will be allocated to the sites, while \$3,000,000 will be retained for technical assistance support. The maximum award amount for each of the seven (7) pre-designated Tier 1 urban areas is \$3,617,000. The maximum award amount for each of the four (4) pre-designated Tier 2 urban areas is \$1,420,875.
Review/ Evaluation Process	The allocation methodology for RCPGP is that one non-competitive award will be made to each of the pre-designated 11 high-risk, high-consequence urban areas within the 10 RCPGP sites that received funding under RCPGP in the FY 2008 grant cycle, provided their application meets the minimum standards specified for FY 2009.
Match Requirement	RCPGP requires a cash or in-kind contribution of non-federal funds totaling 25 percent of the proposed project such that the federal share of each project is 75 percent. The non-federal contribution may be cash or in-kind as defined under 44 C.F.R. 13.24.
Grant Performance Period	The period of performance of this grant program is 24 months. Extensions to the period of performance will be considered only through formal requests to FEMA with specific and compelling justification why an extension is required.
Eligible Applicant	OHS is the State Administrative Agency (SAA) for California and is the eligible grant applicant.
Eligible Subgrant Applicants	Tier 1 Urban Area: Bay Area Site (to include 11 counties and 23 principal cities spanning central western CA) and Tier 1 Urban Area: Los Angeles / Long Beach Area Site (to include 5 counties and 38 principal cities spanning southwestern CA).
California Site Allocations	Bay Area Site: \$3,617,000 Los Angeles/Long Beach Site: \$3,617,000

*FY 2009 RCPGP grant allocations will only be from Noncompetitive funds

Section 4 – Subgrant Application Process

Subgrant Investment Justifications The Investment Justification is a method for the applicant to demonstrate their planned use of funds and describe specific funding and implementation approaches over the 24 month grant period of performance that will help enhance and sustain capabilities and achieve outcomes aligned with the National Preparedness Guidelines, their respective State/Urban Area Homeland Security Strategy, and their State Preparedness Report.

Investment Justification Due Dates Investment Justifications need to be sent to the SAA by the state due date **11:59pm PDT, March 6, 2009**. Investment Justifications must be posted electronically to the Office of Domestic Preparedness (ODP) Secure Portal utilizing the Investment Template provided by the US DHS.

At **11:59pm EDT, March 20, 2009** Investment Justifications will be due from the SAA to US DHS.

Investment Justification Requirements To apply for the FY 2009 RCPGP, eligible Urban Areas must complete an Investment Justification in the template provided and send it to their respective SAA per the SAA's guidelines.

http://www.fema.gov/doc/government/grant/rcp/fy09_rcpgp_ij_template.doc

Subgrantee Application Submittal Included with the Investment Justification must be a 1. **Detailed Project Plan (for each project submitted)**, 2. **Regional Catastrophic Preparedness Team (RCPT) Membership List** and 3. **RCPT Charter**. Specific instructions and templates to complete the Investment Justification and each of the required components of it can be found at:

<http://www.fema.gov/government/grant/rcp/index.shtm>

NOTE: New applicants must register with ODP before posting their Investment Justifications in order to receive a Login name and Password.

Step 1: Register and/or Login to ODP Secure Portal

Step 2: Click on 'Library' link

Step 3: Click on 'FY09 RCPGP' folder then click on 'Investment Justifications' folder.

Step 4: Upload Investment Justification to 'Investment Justification' folder by Clicking on 'Upload Document'.

SAA Application Submittal In addition, once complete applications are received by the SAA, Standard forms 424, 424A, 424B, LLL & Certification Regarding Department, Suspension, and Other Responsibility Matters will be completed and sent to www.grants.gov by the SAA administrator with the application. Submit completed Investment Justifications to OPD Secure Portal at: <https://odp.esportals.com/>

Program Deliverables The following activities are the Program Deliverables/Central Priorities & Objectives of the FY 09 RCPGP program and need to be addressed when developing the Investment Justification.

- 1. Fix shortcomings in Existing Plans (from RCPGP FY 08)**
- 2. Build Regional Planning Process and Planning Communities**
- 3. Link Operational and Capabilities-Based Planning for Resource Allocation**

See the Guidance and Application Kit for specifics in program deliverables at:
http://www.fema.gov/pdf/government/grant/rcp/fy09_rcpgp_guidance.pdf

Eligible Activities/ Allowable Costs

1. Planning

RCPGP Sites may use RCPGP funds for planning efforts to address catastrophic events, including developing support tools that enable catastrophic planning and developing contingency agreements/emergency contracts that address logistics and pre-positioning of commodities related to plans developing with RCPGP FY 2008 funds. These efforts must enable the prioritization of needs, building of capabilities, updating of preparedness strategies, allocation of resources, and delivery of preparedness programs across disciplines (e.g., law enforcement, fire, emergency medical service (EMS), public health, behavioral health, public works, agriculture, and information technology) and levels of government. Working through Citizen Corps Councils, all jurisdictions are encouraged to include non-governmental entities and the general public in planning and associated training and exercises. Examples of allowable planning costs for the individual RCPGP activities can be found at <http://www.fema.gov/grants>.

2. Personnel

Hiring, overtime, and backfill expenses are allowable under this grant only to perform programmatic activities deemed allowable under existing guidance. Supplanting, however, is not allowed. Grantees may hire staff only for program management functions, not operational duties. Definition of types of personnel can be found at:

http://www.fema.gov/pdf/government/grant/rcp/fy09_rcpgp_guidance.pdf

RCPGP funds may not be used to support the hiring of sworn public safety officers for the purposes of fulfilling traditional public safety duties or to supplant traditional public safety positions and responsibilities.

3. Management and Administration (M&A)

A maximum of up to three percent 3 percent of funds awarded may be retained by the State, and any funds retained are to be used solely for management and administrative purposes associated with the RCPGP award. States may pass through a portion of the State M&A allocation to local subgrantees to support local management and administration activities (not to exceed 3 percent).

Section 5- Post DHS Award - Subgrant Applications

Subgrant Application Components Successful subgrantees will be required to submit subgrant applications to the SAA prior to final award of grant funds.

A completed application will include all of the following components:

- **Completed Investment Justification containing:**
 1. Detailed Project Plan (for each project)
 2. RCPT Membership List
 3. RCPT Charter
- Submitted electronically to the ODP Secure Portal

SAA Application Components *Standard Forms 424, 424A, 424B, LLL & Certification Regarding Debarment, Suspension, and Other Responsibility Matters will be completed and sent to grants.gov by an SAA administrator.

Subgrant Application Approval The subgrantee will receive written notice of OHS approval for the subgrant application.

Post Award Required Documents required by SAA prior to Draw Down of Funds

- **Governing Body Resolution**
- **Grant Assurances**
- **Initial Financial Management Forms Workbook V 1.07** found at <http://www.ohs.ca.gov/grantsinfo2007.html>

Post Award Modifications Post award budget, scope and time modifications must be requested using the **OHS Financial Management Forms Workbook V 1.07**, by the subgrantee's Authorized Agent, and submitted to the subgrantee's Program Representative in the Grant Administration Unit of OHS. Upon approval the subgrantee will be instructed to make the required changes in the National Preparedness Directorate's Grants Reporting Tool (GRT)
<https://www.reporting.odp.dhs.gov> .

The subgrantee may implement the modifications, and incur associated expenses, **after** receiving **written final approval** of the modification from OHS.

NOTE: Modifications can be requested once per quarter during the grant performance period. Failure to submit modification requests, and receive written approval prior to expenditure, could result in a reduction or disallowance of that part of the grant.

Subgrantee Performance Reports Subgrantees must prepare and submit performance reports to the state for the duration of the grant performance period, or until all grant activities are completed and the grant is formally closed. Subgrantees must complete a Biannual Strategy Implementation Report using the GRT, and will also be required to submit additional information and data requested by the state.

Monitoring Subgrantee Performance OHS is currently conducting a program of subgrantee monitoring. The monitoring will be conducted on the subgrantees administrative, programmatic and fiscal management of the grant(s).

These reviews may include, but are not limited to:

- Eligibility of expenditures
- Comparing actual subgrantee activities to those approved in the subgrant application and subsequent modifications, if any.
- Ensuring that advances have been disbursed in accordance with applicable guidelines.
- Confirming compliance with:
 - Grant Assurances.
 - Information provided on performance reports and payment requests.
 - Needs and threat assessments and strategies.

Suspension or Termination OHS may suspend or terminate subgrant funding, in whole or in part, or other measures may be imposed for any of the following reasons:

- Failing to expend funds in a timely manner consistent with the grant milestones, guidance and assurances.
- Failing to comply with the requirements or statutory objectives of federal or state law.
- Failing to make satisfactory progress toward the goals or objectives set forth in the subgrant application.
- Failing to follow grant agreement requirements or special conditions.
- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding.
- Failing to submit required reports.
- Filing a false certification in the application or other report or document.
- Failing to adequately manage, monitor or direct the grant funding activities of their subrecipients.

Before taking action, OHS will provide the subgrantee reasonable notice of intent to impose corrective measures and will make every effort to resolve the problem informally.

Closeout OHS will close a subgrantee award after:

- Receiving a subgrantee Performance Report indicating that all approved work has been completed, and all funds have been disbursed;
- Completing a review to confirm the accuracy of reported information; and
- Reconciling actual costs to awards, modifications and payments.

If the closeout review and reconciliation indicates that the subgrantee:

- Is owed additional funds, OHS will send the final payment automatically to the subgrantee.
- Did not use all funds received, OHS will issue an Invoice or Grant Modification letter to recover unused funds.

In the **Grant Closeout Letter**, OHS will notify the subgrantee of the start of the record retention period for all programmatic and financial grant related records.

NOTE: Failure to maintain all grant records for the required retention period could result in a reduction of eligible grant activities, and an invoice to return costs associated with the unsupported activities.

**Payment
Request
Process**

To request reimbursement payment of FY 2009 RCPGP funds, complete a payment request form using the OHS Financial Management Forms Workbook and return it to the appropriate Program Representative in the Grant Administration Unit at OHS.

OHS Financial Management Forms Workbook V 1.07

<http://www.ohs.ca.gov/grantsinfo2007.html>

NOTE: Payments can only be made if the subgrantee has an approved application, valid Governing Body Resolution and valid Grant Assurance form.

**Financial
Management
and Reporting
Workshops**

OHS conducts regular workshops on grants management, financial management and grant reporting. Please contact your OHS Program Representative for more information.